

DOCKET NO .: MS303686.1

In re patent application of

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Joshua T. Goodman, et al. Applicant: 10/601,159 Serial No.: June 20, 2003 Filed: PREVENTION OF OUTGOING SPAM For: 2157 Art Unit: Unknown Examiner: INFORMATION DISCLOSURE STATEMENT Assistant Commissioner for Patents Alexandria, Virginia 22313-1450 . <u>S</u> Sir: 1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120: Serial No.: ______ Filing Date: _____ Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise. 2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s): (a) ___Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report. (b) ___Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents". 3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked): (a) ____ Within 3 months of the filing date or date of entry into the National Stage. (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

	(c)	After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
	(1)	The required certification is given below, or
	(2)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
	(3)	Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.
	(d)A	fter the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below
	(1)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
	(2)_	Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.
	Certificat	ion (if applicable)
	(a)	The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
	(b)T	he undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
;.	The Com No. 50-1	missioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account 063.
		Respectfully Submitted,
		By Ayen C. Some

24TH Floor, National City Center 1900 East 9th Street Cleveland, Ohio 44114 (216) 696-8730

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

Jeffrey R. Sadlowski Reg. No. 47,914

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Alexandria, Virginia 22313-1450.

Date: 2-18-2004

Jeffrey R. Sadlowski

PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE work Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

TRADELINIO 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

 Complete if Known

 Application Number
 10/601,159

 Filing Date
 June 20, 2003

 First Named Inventor
 Joshua T. Goodman, et al.

 Art Unit
 2157

 Examiner Name
 Unknown

 Attorney Docket Number
 MS303686.1/MSFTP418US

			U. S. PATENT	DOCUMENTS		
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (f known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		US- 6,161,130	12/12/2000	Horvitz, et al.		
		^{US-} 6,023,723	02/08/2000	McCormick, et al.		
	 	US- 6,003,027	12/14/1999	Prager		
		^{US-} 5,835,087	11/10/1998	Herz, et al.	•	
		US- 5,638,487	06/10/1997	Chigier		
		^{US-} 5,619,648	04/08/1997	Canale, et al.		
		US- 5,377,354	12/27/1994	Scannel, et al.		
		^{US-} 6,192,360	2/20/2001	Dumais, et al.		
		^{US-} 5,704,017	12/30/1997	Heckerman, et al.		
		^{US-} 6,266,692	07-24-2001	Greenstein		
		^{US-} 6,484,197	11-19-2002	Donohue		
		US-				
		US-				
		US-				
		US-				
		US-				
·		US-				
		US-				
-	1	US-				

Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Ι,
		Country Code ^{3 "} Number ^{4 "} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	Ľ
		EP720 333	07/03/1996	A T & T Corp.		
		EP413 537	02/20/1991	Digital Equipment Int.		
		WO96/35994	11/14/1996	Compuserve, Inc.		L
						Ļ
						L
						1

Examiner	Date	
Signature	Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Ons are required to respond to a collection of information unless it contains a valid OMB control number.

Unde	er the Paperwork Red	uction Ac	TOT 1939, NO persons at	Complete if Known			
Switch	1449/P10			Application Number	10/601,159		
INFC	RMATION	I DIS	CLOSURE	Filing Date	June 20, 2003		
STATEMENT BY APPLICANT				First Named Inventor	Joshua T. Goodman, et al.		
				Art Unit	2157		
	(Use as many she	ets as n	ecessary)	Examiner Name	Unknown		
Sheet	2	of	4	Attorney Docket Number	MS303686.1/MSFTP418US		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11	
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Doucments Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages	
		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237	
:		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages	
		YIMING YANG, et al.; "An Example-Based Mapping Method for Text Categorization and Retrieval"; ACM Transactions on Information Systems, Vol. 12, No. 3, July 1994, pp. 252-277.	
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338	
		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html	

Examiner Date	
Signature Consid	lered

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

PTO/SB/08B (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE ation unless it contains a valid OMB control number.

er ne Paperwork Rec	decion Ac	tor 1000, no pareens e	Complete if Known			
for form 1449/PTO			Application Number	10/601,159		
RMATION	I DIS	CLOSURE	Filing Date	June 20, 2003		
			First Named Inventor	Joshua T. Goodman, et al.		
			Art Unit	2157		
(Use as many sh	eets as n	ecessary)	Examiner Name	Unknown		
3	of	4	Attorney Docket Number	MS303686.1/MSFTP418US		
	RMATION TEMENT	PRMATION DISTEMENT BY AI	PRMATION DISCLOSURE TEMENT BY APPLICANT (Use as many sheets as necessary)	PRMATION DISCLOSURE TEMENT BY APPLICANT (Use as many sheets as necessary) Application Number Filing Date First Named Inventor Art Unit Examiner Name Attorney Docket Number	Application Number 10/601,159 PRMATION DISCLOSURE Filing Date June 20, 2003 First Named Inventor Joshua T. Goodman, et al. Art Unit 2157 Examiner Name Unknown Attorney Docket Number MS203686 1/MSETP418US	

<u> </u>	Cita	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Examiner Initials*	Cite No. ¹	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		MAKOTO IWAYAMA, et al.; "Hierarchical Bayesian Clustering for Automatic Text Classifiation"; Natural Language; 1995; pp. 1322-1327.	
		DAVID D. LEWIS; "An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task"; 15th Annual International SIGIR '92; Denmark 1992; pp. 37-50.	
		DAPHNE KOLLER, et al.; "Toward Optimal Feature Selection"; Machine Learning; Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	5.
		DAVID DOLAN LEWIS; "Representation and Learning in Information Retrieval"; University of Massachusetts, 1992	
		TOM MITCHELL; "Machine Learning"; Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184	
		Y. H. Li, et al.; "Classification of Text Documents"; Department of Computer Science and Engineering, Michigan State University, E. Lansing, Michigan, The Computer Journal, Vol. 41, No. 8, 1998; 537-546.	
		JUHA TAKKINEN, et al.; "CAFE: A Conceptual Model for Managing Information in Electronic Mail"; Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linkoping University, Sweden, Conference on System Sciences, 1998 IEEE	
		JACOB PALME, et al.; "Issues When Designing Filters In Messaging Systems"; Department of Computer and Systems Sciences, Stockholm University, Royal Institute of Technology, Skeppargarten 73, S-115 30, Stockholm, Sweden, Computer Communications; 1996; pp. 95-101.	
		RICHARD B. SEGAL, et al., "SwiftFile: An Intelligent Assistant for Organizing E-Mail"; IBM Thomas J. Watson Research Center	
		MEHRAN SAHAMI, et al., "A Bayesian Approach to Filtering Junk E-Mail"; Stanford University	

Examiner Signature Date Considered			
C:damad	Examiner	Date	
	Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

PTO/SB/08B (04-03) Approved for use through 04/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known ute for form 1449/PTO **Application Number** 10/601,159 INFORMATION DISCLOSURE **Filing Date** June 20, 2003 STATEMENT BY APPLICANT **First Named Inventor** Joshua T. Goodman, et al. Art Unit 2157 (Use as many sheets as necessary) **Examiner Name** Unknown Attorney Docket Number MS303686.1/MSFTP418US

4

of

Sheet

		NON PATENT LITERATURE DOCUMENTS (the author (in CARITAL LETTERS) title of the article (when appropriate) title of	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		DAVID MADIGAN, "Statistics and The War on Spam," Rutgers University, pp. 1-13, 2003	
		PADRAIG CUNNINGHAM, et al., "A Case-Based Approach to Spam Filtering that Can Track Concept Drift," Trinity College, Dublin, Department of Computer Science, 5/13/03	
		MARK ROSEN, "E-mail Classification in the Haystack Framework," Massachusetts Institute of Technology, February, 2003	
		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, Dept. of Computer Science and Engineering, University of Texas-Arlington, 5 pages	
		THORSTEN JOACHIMS, Transductive Inference for Text Classification Using Support Vector Machines, In Proceedings of the 16th International Conference on Machine Learning, 1999, pp. 200-209, San Francisco, USA	

Examiner	Date	
Signature	Considered	
olghatule		

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.